



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Sujit V. Gaikwad et al.

Serial No.: 09/934,059

Examiner: Unknown

Filed: August 21, 2001

Group Art Unit: 2631

For: AUTO-TUNING CONTROLLER USING LOOP-SHAPING

Docket No.: 1100.1119101 (H0001511)

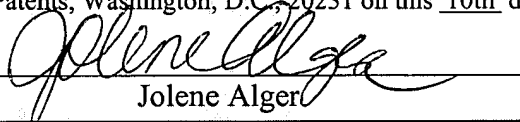
**TRANSMITTAL SHEET****Box Missing Parts**

Assistant Commissioner for Patents

Washington, D.C. 20231

**CERTIFICATE UNDER 37 C.F.R. 1.10:** The undersigned hereby certifies that this paper or papers, as described herein, are being deposited in the United States Postal Service, "Express Mail Post Office to Addressee" having an Express Mail mailing label number of : EL901548036US, in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C., 20231 on this 10th day of October, 2001.

By

  
Jolene Alger

We are transmitting herewith the attached:

- [ ] Amendment  
[ ] No additional fee required  
[ ] The fee has been calculated as shown:

CLAIMS AS AMENDED							
	(3)	(4)	(5)	SMALL ENTITY		OTHER	
	REMAININ G CLAIMS	HIGHEST PAID	EXTRA	RATE	ADD'L FEE	RATE	ADD'L FEE
TOTAL CLAIMS	-			x9=	\$	x18=	\$
INDEPEN- DENT CLAIMS				x39=	\$	X78=	\$
( ) FIRST MULTIPLE DEPENDENT CLAIM				+130=	\$	+260=	\$
TOTAL				\$		\$	

- [ XX ] A check in the amount of \$130.00 is enclosed.
- [ ] Small entity status of this application under 37 C.F.R. 1.9 and 1.27 has been established by verified statement previously submitted.
- [ XX ] Other: Response to Notice to File Missing Parts, copy of the Notice to File Missing Parts of Nonprovisional Application Filed Under 37 CFR 1.53(b), Executed Declaration and Power of Attorney, Request for Corrected Filing Receipt, copy of Official Filing Receipt and copy of page 1 of Declaration and Power of Attorney .
- [XXXX] Please charge any deficiencies or credit any over payment in the enclosed fees to Deposit Account 50-0413.

By: \_\_\_\_\_

Brian N. Tufte

Reg. No. 38,638

Brian N. Tufte  
CROMPTON, SEAGER & TUFTE, LLC  
331 Second Avenue South, Suite 895  
Minneapolis, MN 55401  
(612) 677-9050



#3

P A T E N T

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

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**Box Missing Parts**

Assistant Commissioner for Patents  
Washington, D.C. 20231

**RESPONSE TO NOTICE TO FILE MISSING PARTS**

**CERTIFICATE UNDER 37 C.F.R. 1.10:** The undersigned hereby certifies that this paper or papers, as described herein, are being deposited in the United States Postal Service, "Express Mail Post Office to Addressee" having an Express Mail mailing label number of: EL901548036US, in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C., 20231 on this 10th day of October, 2001.

By \_\_\_\_\_

Jolene Alger

Dear Sir:

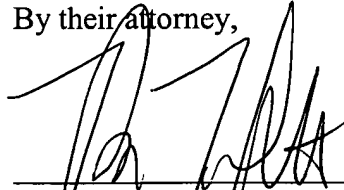
To complete the above-captioned application, please find enclosed a copy of the NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION - FILED UNDER 37 CFR 1.53(b) - FILING DATE GRANTED, a Declaration signed by the named inventors, and a check in the amount of \$130.00. Permission is hereby granted to charge any deficiencies or credit any overpayment in the enclosed fees to Deposit Account No. 50-0413.

Any inquiry regarding the above-referenced matter may be directed to the undersigned representative.

Respectfully submitted,

Sujit V. Gaikwad et al.

By their attorney,

A handwritten signature in black ink, appearing to be "Brian N. Tufte", written over a horizontal line.

Dated: October 10, 2001

Brian N. Tufte, Reg. No. 38,638  
CROMPTON, SEAGER & TUFTE, LLC  
331 Second Avenue South  
Suite 895  
Minneapolis, MN 55401  
Telephone: (612) 677-9050  
Facsimile: (612) 359-9349



10-12-01

Receipt  
#4

PATENT

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of:

Sujit V. Gaikwad et al.

Serial No.: 09/934,059

Examiner: Unknown

Filed: August 21, 2001

Group Art Unit: 2631

For: AUTO-TUNING CONTROLLER USING LOOP-SHAPING

Docket No.: 1100.1119101 (H0001511)

**Box Missing Parts**

Assistant Commissioner for Patents  
Washington, D.C. 20231

**REQUEST FOR CORRECTED FILING RECEIPT**

**CERTIFICATE UNDER 37 C.F.R. 1.10:** The undersigned hereby certifies that this paper or papers, as described herein, are being deposited in the United States Postal Service, "Express Mail Post Office to Addressee" having an Express Mail mailing label number of: EL901548036US, in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this 10th day of October, 2001.

By

*Jolene Alget*

Jolene Alget

Sir:

Attached is a copy of the official filing receipt received from the U.S. Patent and Trademark Office in the above application for which issuance of a corrected filing receipt is respectfully requested.

There are errors on the Filing Receipt in the above-referenced application in the following sections: Correspondence Address; Attorney Docket Number; and Applicant(s).

The correct Correspondence Address may be found on page 1 of the Declaration and Power of Attorney, a copy of which is attached. Please note the Customer Number 000128. Please correct the Correspondence Address section of the Filing Receipt to read as follows:

John G. Shudy, Jr.  
Honeywell International Inc.  
101 Columbia Road  
P.O. Box 2245  
Morristown, NJ 07962-2245

With respect to the Attorney Docket Number, there appears to be an additional "0" at the end of the number. As such, please correct the Attorney Docket Number to read as follows:

1100.1119101 (**H0001511**)

With respect to the Applicant(s) section, there appears to be errors with the Applicant names. A copy of Sachindra K. Dash's and Kostas S. Tsakalis' signature on the Declaration and Power of Attorney is enclosed. The Applicant section should read as follows:

Applicant(s)  
Sujit V. Gaikwad, Glendale, AZ  
**Sachindra K. Dash**, Scottsdale, AZ  
**Kostas S. Tsakalis**, Chandler, AZ  
Gunter Stein, New Brighton, MN

These corrections are not due to any error by the applicants and no fee is due.

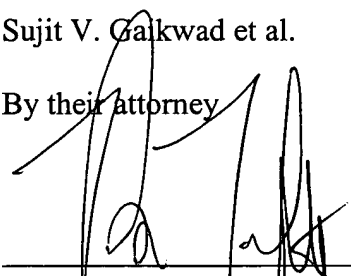
Respectfully submitted,

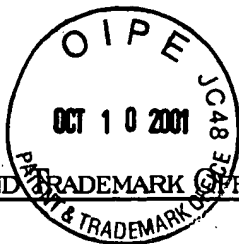
Sujit V. Gaikwad et al.

By their attorney

Date

October 10, 2001

  
\_\_\_\_\_  
Brian N. Tufte, Reg. No. 38,638  
CROMPTON, SEAGER & TUFTE, LLC  
331 Second Avenue South, Suite 895  
Minneapolis, MN 55401-2246  
Telephone: 612-677-9050  
Facsimile: 612-359-9349



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/934,059	08/21/2001	Sujit V. Gaikwad	1100.1119101 (H00015110)

CONFIRMATION NO. 7383

## FORMALITIES LETTER



\*OC000000006593697\*

CROMPTON, SEAGER & TUFTE, LLC  
Suite 895  
331 Second Avenue South  
Minneapolis, MN 55401-2246

Date Mailed: 09/24/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The signature of the following inventor(s) is missing from the oath or declaration:  
*Kosta S. Tsakalis, Gunter Stein*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

*A copy of this notice **MUST** be returned with the reply.*

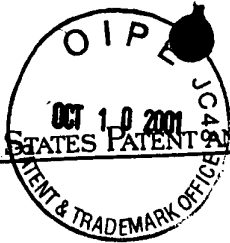
Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

09/25/2001 00000059 09934059

130.00 GP

09/25/2001



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSION  
UNITED STATES PATENT AND TR.  
WASHINGTON

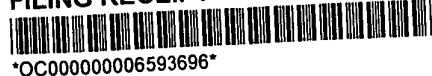
APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IN
09/934,059	08/21/2001	2631	916	1100.1119101 (H00015110) (H0001511)	2	27	

CONFIRMATION NO. 73

CROMPTON, SEAGER & TUETE, LLC  
Suite 895  
331 Second Avenue South  
Minneapolis, MN 55401-2246

John G. Shudy, Jr.  
Honeywell International Inc.  
101 Columbia Road  
P.O. Box 2245  
Morristown, NJ 07962-2245

FILING RECEIPT



\*OC000000006593696\*

Date Mailed: 09/24/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Sachindra K. Dash

Sujit V. Gaikwad, Glendale, AZ;  
Sachin K. Dash, Scottsdale, AZ;  
Kosta S. Tsakalis, Chandler, AZ;  
Gunter Stein, New Brighton, MN;

Domestic Priority data as claimed by applicant

THIS APPLN CLAIMS BENEFIT OF 60/227,051 08/21/2000

Foreign Applications

If Required, Foreign Filing License Granted 09/21/2001

Projected Publication Date: To Be Determined - pending completion of Missing Parts

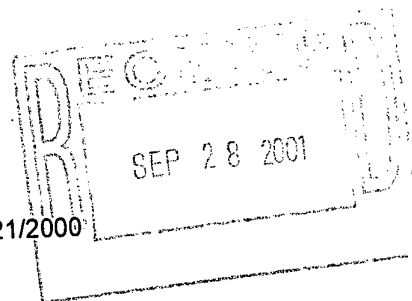
Non-Publication Request: No

Early Publication Request: No

Title

Auto-tuning controller using loop-shaping

Preliminary Class





375

Data entry by : SOUNANNARATH, LINDA

Team : OIPE

Date: 09/24/2001





**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

**PLEASE NOTE the following information about the Filing Receipt:**

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 500 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:

Assistant Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, DC 20231